

## Disclosure Form

Individual forms must be completed and submitted for the licensee or 25% owner, if a natural person, the qualified employee and for each minority owner, general partner, officer or director of the licensee who conducts business on behalf of the broker from a Nevada office and is not licensed as a mortgage agent.

Licensee Name: \_\_\_\_\_

Name of Individual: \_\_\_\_\_

Designation:

\_\_\_\_\_ Licensee or 25% owner, if natural person

\_\_\_\_\_ Qualified Employee

\_\_\_\_\_ General partner, officer, director or <25% owner who conducts mortgage business on behalf of broker and is not a licensed mortgage agent

### Disclosure Items

**Please attach an EXPLANATION PAGE for 'yes' answers. Include date, charge, agency, location, disposition or explanation as applicable.**

Y N

- |    |  |    |  |  |  |
|----|--|----|--|--|--|
| a. | Have you ever been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign or military court to any felony or any crime involving fraud, misrepresentation or moral turpitude?  | a. |  |  |  |
| b. | Have you ever been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign or military court to a misdemeanor involving fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses? | b. |  |  |  |
| c. | Have you ever entered into any settlement agreement with any federal or state agency?  | c. |  |  |  |
| d. | Have you ever had your license or registration denied, suspended or revoked by a financial services or securities licensing agency in this state or any state, district, territory of the United States or any foreign in the preceding 10 years?  | d. |  |  |  |
| e. | Have you within the past 10 years made a compromise with creditors, filed a bankruptcy petition or been subject of an involuntary bankruptcy petition for an organization while you exercised control over it or individually?   | e. |  |  |  |
| f. | Has a bonding company ever denied, paid out on, or revoked a bond for you?   | f. |  |  |  |
| g. | Do you have any unsatisfied judgments or liens against you?  | g. |  |  |  |
| h. | Do you have a relative that is or has been associated with the business? (NRS 645B.0131 Relative means a spouse or any other person related within the second degree by blood or marriage)   | h. |  |  |  |
| i. | Have you ever had a civil or criminal record expunged or sealed by a court order?  | i. |  |  |  |
| j. | Have you ever had a privileged or professional license in any state denied, suspended or revoked?  | j. |  |  |  |
| k. | Are you subject to any pending actions that could result in a 'yes' answer to any of the above questions?  | k. |  |  |  |

**By signing below, I represent that I personally have completed this form or verified the information contained herein is accurate.**

Signature

\_\_\_\_\_ Title \_\_\_\_\_

Print Name \_\_\_\_\_

Date \_\_\_\_\_